

Alabama State Employees' Insurance Board



Functional Analysis & Records Disposition Authority

Presented to the
State Records Commission
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Functional and Organizational Analysis of the State Employees' Insurance Board

Sources of Information

Representatives of the State Employees' Insurance Board

Code of Alabama 1975, Sections 36-29-1 through 36-29-30

Code of Alabama 1975, Sections 41-20-1 through 41-20-16

Alabama Government Manual

Audit Report of the State Employees' Insurance Board

State Employees' Insurance Board Website (<http://www.alseib.org/>)

Historical Context

The State Employees' Insurance Board (SEIB) was created in 1965 by Legislative Act 833. The State Personnel Department started to manage SEIB on April 5, 1979. In September 1979, the responsibility was transferred to the Employees Retirement Systems of Alabama (RSA). Effective October 1, 1988, SEIB became an independent agency again.

Agency Organization

The eleven-member board is composed of the five members of the State Personnel Board, the Director of the Finance Department, the Secretary-Treasurer of the Employees' Retirement System of Alabama, two elected active state employees, and two elected retired state employees. The board hires a chief executive officer and other necessary staff members to administer various health insurance plans for state government employees.

Agency Function and Subfunctions

The mandated function of the State Employees' Insurance Board is to provide health insurance plans for state government employees in Alabama. The board is one of the agencies primarily involved in carrying out the Administrative Support Operations function of Alabama government. In the performance of its mandated function, the State Employees' Insurance Board may engage in the following subfunctions:

Promulgating Rules and Regulations. The Code of Alabama, Section 16-29-12, authorizes the board to promote rules and regulations required for the administration of various health insurance plans for state and local government employees and eligible residents in Alabama.

Developing and Administering Health Insurance Plans. In accordance with Code of Alabama Section 36-29-4, the board is authorized to establish a health insurance plan for eligible employees, dependents, and retirees of the state. The State Employees' Health Insurance Plan is a self-insured group health insurance program funded from the premiums of the participants. The plan provides a reasonable relationship between benefits provided and claims expected to be paid. The statutes governing the board require that the health insurance plan must also include controls to prevent unnecessary utilization of covered services and provide assurance of future stability.

In addition, the board formerly administered the Alabama Health Insurance Program (AHIP), which was designed for people who had exhausted health insurance coverage through a former employer and had no other healthcare coverage available; and the federal Children's Health Insurance Plan (All Kids), for individuals under 19 who did not have health insurance coverage and met income requirements. The AHIP program is no longer active, and the All Kids program is no longer administered by the board.

Administering the Flexible Employees' Benefit Plan. The Legislature established in 1989 the Flexible Employees' Benefit Board to establish a flexible employee benefit plan which provides for payments or salary reductions for qualified benefits in compliance with section 125 of the Internal Revenue Code. Under the plan, state employees are allowed to pay for health/life insurance premiums, certain voluntary insurance coverages, and dependent care expenses with pre-tax payroll. At the request of the Flexible Employees' Benefit Board, the State Employees' Insurance Board began assisting in the administration of the Flexible Employees' Benefit Plan in 1997 by acting as the coordinator with the contracted company, Erisa Administrative Services.

Implementing the Worksite Wellness Program. The State Employees' Insurance Board and the Department of Public Health jointly developed and implemented a worksite wellness program for state employees in 1993. The program provides or sponsors the following services: health screening activities which include blood pressure, glucose and cholesterol evaluations; flu, pneumonia and tetanus vaccinations; and national employee health and fitness day.

Educating. Employees with internet availability can access SEIB's online services. In addition, the board publishes a quarterly newsletter, *Health Watch*, to inform employees and their covered family members about issues that may affect their health or health insurance coverage.

Administering Internal Operations. A significant portion of the agency's work includes general administrative, financial, and personnel activities performed to support its programmatic areas, including:

Managing the Agency. Activities include internal office management activities common to most government agencies such as corresponding and communicating, scheduling, meeting, documenting policies and procedures, reporting, litigating,

legislating (drafting, lobbying, tracking), publicizing and providing information, managing records, and managing information systems and technology.

Managing Finances. Activities include budgeting (preparing and reviewing budget package, submitting the budget package to the Department of Finance, documenting amendments and performance of the budget); purchasing (requisitioning and purchasing supplies and equipment, receipting and invoicing for goods, and authorizing payment for products received); accounting for the expenditure, encumbrance, disbursement, and reconciliation of funds within the agency's budget through a uniform system of accounting and reporting; authorizing travel; contracting with companies or individuals; bidding for products and services; and assisting in the audit process.

Managing Human Resources. Activities include recruiting and hiring eligible individuals to fill positions within the agency; providing compensation to employees; providing benefits to employees such as leave, health insurance, unemployment compensation, worker's compensation, injury compensation, retirement, and death benefits; supervising employees by evaluating performance, granting leave, and monitoring the accumulation of leave; training and providing continuing education for employees; and disciplining.

Managing Properties, Facilities, and Resources. Activities include inventorying and accounting for non-consumable property and reporting property information to the appropriate authority; constructing buildings and facilities; leasing and/or renting offices or facilities; providing security for property owned by the agency; insuring property; and assigning, inspecting and maintaining agency property, including vehicles.

Analysis of Record-Keeping System and Records Appraisal of the State Employees' Insurance Board

Agency Record-Keeping System

The board currently operates a hybrid record-keeping system composed of electronic records and paper files.

Computer Systems: The agency's computer system consists of a Wide Area Network (WAN) that is composed of servers, personal computers (PC) and other electronic peripherals. The agency has many servers with the latest operating systems. These servers provide file sharing, database, and printing services to the agency's Local Area Network (LAN). The LAN also consists of servers, personal computers, and laptops running the latest operating systems. The servers are backed up daily. The personal computers and laptops are backed up weekly.

Paper-based Systems: Staff members create and maintain records in paper form.

The agency maintains a website at: www.alseib.org. Information on the website includes health insurance guidelines and benefits, forms, copies of *Health Watch*, information on the wellness program, an accountability site, information on the FLEX program, and board organization charts. All information is also available in paper format.

Records Appraisal

The following is a discussion of the two major categories of records created and/or maintained by the State Employees' Insurance Board: Temporary Records and Permanent Records.

I. Temporary Records. Temporary records should be held for what is considered to be their active life and disposed of once all fiscal, legal, and administrative requirements have been met. Some of the temporary records created by the board are discussed below:

State Employees' Health Insurance Enrollment Files. These files are created to document employees' enrollment in various health insurance programs. Included are health insurance enrollment forms, membership status change forms, declination of coverage forms, refund request forms, and copies of supporting documents. They must be kept for 7 years after separation of employee from the state if the employee does not have 10 or more years of service (vested interest). The recommended retention for employees who are vested is 75 years after date of creation. The retention is based on the fact that state government employees (active or separated) are eligible for enrolling in the health insurance as long as they wish. The long retention would be sufficient to cover the average life span of an individual employee after separation.

II. Permanent Records. The Government Services Division recommends the following records as permanent.

Promulgating Rules and Regulations

Meeting Minutes of the State Employees' Insurance Board. These records document rules and regulations developed by the board and should be retained permanently. (RDA page 9) **(Bibliographic Title: State Employees' Insurance Board Meeting Minutes)**

Meeting Minutes of the Alabama Health Insurance Plan Board. The State Employees' Insurance Board served as the plan administrator for the Alabama Health Insurance Plan (AHIP). Created by state law in accordance with the federal Health Insurance Portability and Accountability Act of 1996, AHIP was designed for people who had exhausted health insurance coverage through a former employer and had no other healthcare coverage available. With the implementation of the Affordable Care Act, AHIP ceased operations effective July 1, 2014. The AHIP Board consisted of the commissioner of insurance and eight members appointed by the commissioner of insurance. These records documented articles, bylaws, and procedures for operation of the plan adopted by the board and should be retained permanently. (RDA page 9) **(Bibliographic Title: Alabama Health Insurance Plan Board Meeting Minutes)**

Developing and Administering Health Insurance Plans

Health Insurance Administrative Procedures Guides. These guides contain general information on a particular health insurance plan and benefits, eligibility for participation, enrollment instructions, termination of coverage, billing procedures, and all necessary blank forms (enrollment form, membership status change form, declination of coverage form, and request for refund). This series reflects courses of action which the board has adopted to carry out its responsibilities. (RDA page 9) **(Bibliographic Title: Health Insurance Administrative Procedures Guides)**

Administering Flexible Employees' Benefit Plan

Meeting Minutes of the Flexible Employees' Benefits Board. These records document rules and regulations developed by the board and should be retained permanently. (RDA page 10) **(Bibliographic Title: Flexible Employees' Benefits Board Meeting Minutes)**

Implementing the Worksite Wellness Program

Worksite Wellness Program Statistical Graphs and Summaries. The board staff compile periodic statistical graphs and aggregate summaries for the results of annual worksite wellness program screenings and quarterly blood pressure checks. These records are used for presentation to the board's adjunct medical advisory board for feedback and suggestions. This series possesses

information which might be useful for tracking the impact of the program on state employees. Disposition calls for these records to be retained in office. (RDA, page 10)

Educating

Informational and Promotional Publications. The board publishes and compiles publications to promote and advertise various services and events performed for the covered members. This includes, but is not limited to, the board's newsletter, *Health Watch*; brochures; and other materials issued in print that are distributed for informational purposes. (RDA, page 10) (**Bibliographic Title: State Publications**)

Website and Social Media Site(s). The board maintains a website at: <http://www.alseib.org/>. (ADAH staff capture and preserve the agency's website and other social media sites via a service offered by the Internet Archive [Archive It]. Any content behind password protected or login would not be captured by ADAH. Check with the ADAH website at www.archiveit.org/organizations/62 to ensure you agency and social media site(s) are captured and preserved. If your agency's website and social media site(s) are not captured by the service, please contact the Government Services Division at 334-242-4452 to get them included.) (RDA, page 11) (**Bibliographic Title: Website and Social Media Site[s]**)

Administering Internal Operations—Managing the Agency

Administrative Correspondence. These records consist of policy-related correspondence, and related files, by board members or senior administrative staff. They reflect decisions or deliberations on policies and procedures related to the board and its administration of the SEIB and state health insurance program. (RDA, page 11) (**Bibliographic Title: Administrative Correspondence**)

Annual Reports. The board creates an annual narrative and financial report describing its activities during the year. The report provides summary documentation of the board's functions, projects, and activities during the year, as well as an ongoing agency history. They offer primary documentation of the board's fulfillment of its statutory mandates. (RDA, page 11) (**Bibliographic Title: State Publications**)

Permanent Records List State Employees' Insurance Board

Promulgating Rules and Regulations

1. Meeting Minutes of the State Employees' Insurance Board
2. Meeting Minutes of the Alabama Health Insurance Plan Board

Developing and Administering Health Insurance Plans

1. Health Insurance Administrative Procedures Guides

Administering Flexible Employees' Benefit Plan

1. Meeting Minutes of the Flexible Employees' Benefits Board

Implementing the Worksite Wellness Program

1. Worksite Wellness Program Statistical Graphs and Summaries*

Educating

1. Informational and Promotional Publications
2. Website and Social Media Sites

Administering Internal Operations—Managing the Agency

1. Administrative Correspondence
2. Annual Reports

*Indicates records that ADAH anticipates will remain in the care and custody of the creating agency. ADAH staff is available to work with the agency in determining the best location and storage conditions for the long-term care and maintenance of permanent records not transferred to ADAH

State Employees' Insurance Board Records Disposition Authority

This Records Disposition Authority (RDA) is issued by the State Records Commission under the authority granted by the Code of Alabama 1975, Sections 41-13-5 and 41-13-20 through 21. It was compiled by the Government Services Division, Alabama Department of Archives and History (ADAH), which serves as the commission's staff, in cooperation with representatives of the State Employees' Insurance Board (SEIB). The RDA lists records created and maintained by the SEIB in carrying out its mandated functions and activities. It establishes retention periods and disposition instructions for those records and provides the legal authority for the board to implement records destruction.

Alabama law requires public officials to create and maintain records that document the business of their offices. These records must be protected from "mutilation, loss, or destruction," so that they may be transferred to an official's successor in office and made available to members of the public. Records must be kept in accordance with auditing standards approved by the Examiners of Public Accounts (Code of Alabama 1975, Sections 36-12-2, 36-12-4, and 41-5-23). For assistance in implementing this RDA or for advice on records disposition or other records management concerns, contact the ADAH Government Services Division at (334) 242-4452 or records@archives.alabama.gov.

Explanation of Records Requirements

This RDA shall govern the disposition of all records, regardless of format, created by the agency from its creation to dissolution. It supersedes any previous records disposition requirements governing the retention of the State Employees' Insurance Board's records. Copies of superseded schedules, and previous versions of this RDA, are no longer valid and should be discarded.

The RDA establishes retention and disposition instructions for records regardless of the medium on which those records may be kept. Electronic mail, for example, is a communications tool that may record permanent or temporary information. As for records in any other format, the retention periods for e-mail records are governed by the requirements of the subfunctions to which the records belong.

Certain other record-like materials are not actually regarded as official records and may be disposed of under this RDA. Such materials include: (1) duplicate record copies that do not require official action, so long as the creating office maintains the original record for the period required; (2) catalogs, trade journals, and other publications received that require no action and do not document government activities; (3) stocks of blank stationery, blank forms, or other surplus materials that are not subject to audit and have become obsolete; (4) transitory records, which are temporary records created for short-term internal purposes that may include, but are not limited to: telephone call-back messages; drafts of ordinary documents not needed for their evidential value; copies of material sent for informational purposes but not needed by the

receiving office for future business; and internal communications about social activities; and (5) honorary materials, plaques, awards, presentations, certificates, and gifts received or maintained by the agency staff. They may be disposed of without documentation of destruction.

Records Disposition Requirements

This section of the RDA is arranged by subfunctions of the State Employees' Insurance Board and lists records created and/or maintained by the board in carrying out these subfunctions. The board may submit requests to revise specific record disposition requirements to the State Records Commission for consideration at its regular quarterly meetings.

Promulgating Rules and Regulations

MEETING MINUTES OF THE STATE EMPLOYEES' INSURANCE BOARD

Disposition: PERMANENT RECORD.

MEETING MINUTES OF THE ALABAMA HEALTH INSURANCE PLAN BOARD

Disposition: PERMANENT RECORD.

Recordings of Minutes

Disposition: Temporary Record. Retain until the official minutes are adopted and signed.

Developing and Administering Health Insurance Plans

HEALTH INSURANCE ADMINISTRATIVE PROCEDURES GUIDES

Disposition: PERMANENT RECORD.

HIPAA-related documentation, such as, but not limited to, individual authorizations, designations of personal representatives, documentation relating to individual rights under HIPAA (e.g., notices that deny access to PHI, notices that deny amendments to PHI, disclosures of PHI for which a person is entitled to an accounting), individual complaints regarding HIPAA compliance, disclosure logs, business associate agreements, and HIPAA training materials and attendance logs

Disposition: Temporary Record. Retain for 6 years from the date of creation or the date last in effect, whichever is longer.

State Employees' Health Insurance Enrollment Files

Disposition: Temporary Record.

Records of employees who have not vested: Retain 7 years after separation of employee from the state.

Records of employees who have vested: Retain 75 years after date of creation.

Alabama Health Insurance Plan Enrollment Files

Disposition: Temporary Record. Retain 1 year after audit in the year in which the subscriber reaches age 65.

Alabama Children's Health Insurance Plan Enrollment Files

Disposition: Temporary Record. Retain 1 year after audit in the year in which the subscriber reaches age 19.

Health Insurance Plan Contracts

Disposition: Temporary Record. Retain 7 years after expiration of the contract.

Administering the Flexible Employees' Benefit Plan

MEETING MINUTES OF THE FLEXIBLE EMPLOYEES' BENEFITS BOARD

Disposition: PERMANENT RECORD.

Flexible Employees' Benefit Plan Accounting Receipts/Payment Vouchers

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Implementing the Worksite Wellness Program

WORKSITE WELLNESS PROGRAM STATISTICAL GRAPHS AND SUMMARIES

Disposition: PERMANENT RECORD.

Worksite Wellness Program Health Screening Forms

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Educating

INFORMATIONAL AND PROMOTIONAL PUBLICATIONS

Disposition: PERMANENT RECORD.

Monthly Health Insurance Utilization Management Reports

Disposition: Temporary Record. Retain 1 year after audit.

Monthly Health Watch Information Service System Statistical Reports

Disposition: Temporary Record. Retain 1 year after audit.

WEBSITE AND SOCIAL MEDIA SITE(S)

Disposition: PERMANENT RECORD.

(ADAH staff capture and preserve the agency's website and other social media sites via a service offered by the Internet Archive [Archive It]. Any content behind password protected or login

would not be captured by ADAH. Check with the ADAH website at www.archiveit.org/organizations/62 to ensure you agency and social media site(s) are captured and preserved. If your agency's website and social media site(s) are not captured by the service, please contact the Government Services Division at 334-242-4452 to get them included.)

Administering Internal Operations

Managing the Agency

ADMINISTRATIVE CORRESPONDENCE

Disposition: PERMANENT RECORD.

Routine Correspondence/Memoranda

Disposition: Temporary Record. Retain 3 years.

Administrative Reference Files

Disposition: Temporary Record. Retain for useful life.

ANNUAL REPORTS

Disposition: PERMANENT RECORD.

Mailing Lists

Disposition: Temporary Record. Retain for useful life.

Records documenting the implementation of the board's approved RDA (copies of transmittal form to the Archives and the State Records Center, evidence of obsolete records destroyed, and annual reports to the State Records Commission)

Disposition: Temporary Record. Retain 1 year after audit.

Copies of RDA

Disposition: Temporary Record. Retain 1 year after audit in the year in which the RDA superseded.

Computer systems documentation (hardware/software manuals and diskettes, warranties, records access/authorities, file naming conventions)

Disposition: Temporary Record. Retain documentation of former system 1 year after audit in the year in which the former hardware and software no longer exists anywhere in the board and the permanent records have been migrated into a new system.

Managing Finances

Records documenting the preparation of a budget package and reporting the status of funds, requesting amendments of allotments, and reporting program performance

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting the requisitioning and purchasing of supplies and equipment, receipting or invoicing for goods, and authorizing payment for products

Disposition: Temporary Record. Retain 1 year after audit.

Records of original entry or routine accounting transactions, such as journals, registers, ledgers, or funds deposited outside the state treasury

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting requests for authorization from supervisors to travel on official business either within or outside the state, and other related materials, such as travel reimbursement forms or itineraries

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting contracts for services or personal property

Disposition: Temporary Record. Retain 6 years after expiration of the contract.

Records documenting the bid process, including requests for proposals and unsuccessful responses

Original bid records maintained in the purchasing office of the agency for contracts over \$15,000

Disposition: Temporary Record. Retain 7 years after the end of the fiscal year in which the bids were opened.

Duplicate copies of bid (originals are maintained by the Division of Purchasing, Department of Finance)

Disposition: Temporary Record. Retain 3 years after end of the fiscal year in which the records were created.

Audit Reports

Disposition: Temporary Record. Retain 6 years after the end of the fiscal year in which the records were created.

Managing Human Resources

Job Recruitment Materials

Disposition: Temporary Record. Retain 3 years after the end of the fiscal year in which the records were created.

Position Classification Files

Disposition: Temporary Record. Retain 4 years after position is reclassified.

Application Materials

Disposition: Temporary Record. Retain 2 years.

Records documenting payroll (e.g. pre-payroll reports, payroll check registers)

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting payroll deduction authorizations

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Records documenting payroll deductions for tax purposes (including Form 941)

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting an employee's work history, generally maintained as a case file

Disposition: Temporary Record. Retain 6 years after separation of employee from the agency.

Records documenting employees' daily and weekly work schedules

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting employee disciplinary actions (reprimands, demotions, transfers, termination, appeals, and administrative hearings)

Disposition: Temporary Record. Retain 3 years following decision.

Records documenting an employee's hours worked, leave earned, and leave taken (including time sheets)

Disposition: Temporary Record. Retain 1 year after audit.

Records documenting sick leave donations

Disposition: Temporary Record. Retain 1 year after audit.

Employee Flexible Benefits Plan Files

General information

Disposition: Temporary Record. Retain until superseded.

Other records (applications, correspondence)

Disposition: Temporary Record. Retain 6 years after termination of participation in program.

State Employee Injury Compensation Trust Fund Files

Disposition: Temporary Record. Retain 6 years after separation of the employee from the agency.

Equal Employment Opportunity Commission Case Files

Disposition: Temporary Record. Retain 3 years.

Managing Properties, Facilities, and Resources

Semiannual Inventory Lists

Disposition: Retain in office. (Code of Alabama 1975, Section 36-16-8 [1]).

Transfer of State Property Forms (SD-1) (Agency copies)

Disposition: Temporary Record. Retain 1 year after audit.

Property Inventory Cards and/or Computer Files

Disposition: Temporary Record. Retain 1 year after audit.

Receipts of Responsibility for Property

Disposition: Temporary Record. Retain until return of item to property manager.

Real Property Leasing/Renting Records

Disposition: Temporary Record. Retain 6 years after expiration of the lease.

Facilities/Building Security Records (including visitor logs)

Recorded information that does not become part of a case file

Disposition: Temporary Record. Retain 6 months.

Recorded information that becomes part of a case file.

Disposition: Temporary Record. Retain until final disposition of all cases for which recording provides evidence.

Insurance Policies/Risk Management Records

Disposition: Temporary Record. Retain 6 years after termination of policy or membership.

Building Maintenance Work Orders

Disposition: Temporary Record. Retain 1 year.

Requirement and Recommendations for Implementing the Records Disposition Authority

Requirement

Under the Code of Alabama 1975, Section 41-13-21, “no state officer or agency head shall cause any state record to be destroyed or otherwise disposed of without obtaining approval of the State Records Commission.” This Records Disposition Authority constitutes authorization by the State Records Commission for the disposition of the records of the State Employees’ Insurance Board as stipulated in this document.

One condition of this authorization is that the board submit an annual Records Disposition Authority (RDA) Implementation Report on its records management activities, including documentation of records destruction, to the State Records Commission in April of each year.

Recommendations

In addition, the State Employees’ Insurance Board should make every effort to establish and maintain a quality record-keeping program through the following activities:

The board should designate a managerial position as its records liaison. This position is responsible for: ensuring the development of quality record-keeping systems that meet the board’s business and legal needs, coordinating the transfer and destruction of records, ensuring that permanent records held on alternative storage media (such as microforms and digital imaging systems) are maintained in compliance with national and state standards, and ensuring the regular implementation of the board’s RDA.

Permanent records in the board's custody should be maintained under proper intellectual control and in an environment that will ensure their physical order and preservation.

Destruction of temporary records, as authorized in this RDA, should occur board-wide on a regular basis—for example, after the successful completion of an audit, at the end of an administration, or at the end of a fiscal year. Despite the RDA's provisions, no record should be destroyed that is necessary to comply with requirements of the Open Meetings Act, audit requirements, or any legal notice or subpoena.

The board should maintain full documentation of any computerized record-keeping system it employs. It should develop procedures for: (1) backing up all permanent records held in electronic format; (2) storing a back-up copy off-site; and (3) migrating all permanent records when the system is upgraded or replaced. If the board chooses to maintain permanent records solely in electronic format, it is committed to funding any system upgrades and migration strategies necessary to ensure the records' permanent preservation and accessibility.

Electronic mail may contain permanent, temporary, or transitory record information. Although e-mail records can be printed, filed, and retained according to RDA's requirements, the board should preferably employ an electronic records management system capable of sorting e-mail into folders and archiving messages having long-term value.

The staff of the State Records Commission or the Examiners of Public Accounts may examine the condition of permanent records in the board's custody and inspect records destruction documentation. Government Services Division archivists are available to instruct board staff in RDA implementation and otherwise assist the board in implementing its records management program.

The State Records Commission adopted this records disposition authority on April 27, 2016.

Steve Murray, Chairman
State Records Commission

Date

By signing below, the agency acknowledges receipt of the retention periods and requirements established by the records disposition authority.

William L. Ashmore, Chief Executive Officer
State Employees' Insurance Board

Date